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| FORM PTO-1390 (Modified)<br>(REV. 07-2004) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  |   | ATTORNEY'S DOCKET NUMBER<br><b>93120</b>                            |  |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371  |   | U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br><b>10/512022</b> |  |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/JP03/04868</b>  | INTERNATIONAL FILING DATE<br><b>17 April 2003</b> | PRIORITY DATE CLAIMED<br><b>19 April 2002</b>                       |  |
| TITLE OF INVENTION<br><b>Method for Producing Single Crystal Silicon, Method for Producing Single Crystal Silicon Wafer, Seed Crystal for Producing Single Crystal Silicon, Single Crystal Silicon Ingot, and Single Crystal Silicon Wafer</b>  |   |   |  |
| APPLICANT(S) FOR DO/EO/US<br><b>Tetsuhiro IIDA; Yutaka SHIRAI SHI; Ryota SUEWAKA; Junsuke TOMIOKA</b>   |   |   |  |
| <p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))             <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol> <p><b>Items 13 to 23 below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>13. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).</li> <li>22. <input checked="" type="checkbox"/> Express Mail Label No. <u>EL 996 736 227 US</u></li> <li>23. <input checked="" type="checkbox"/> Other items or information:<br/><b>Application Data Sheet; Certificate of Express Mail; postcard</b></li> </ol> |   |   |  |

19 OCT 2004

U.S. APPLICATION NO. (if known, see 37 CFR 1.15)  
10/512022INTERNATIONAL APPLICATION NO.  
PCT/JP03/04868ATTORNEY'S DOCKET NUMBER  
93120

24. The following fees are submitted:

## BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :

|   |   | CALCULATIONS PTO USE ONLY |  |
|---|---|---------------------------|--|
| <input type="checkbox"/>                    | Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... | \$1110.00                 |  |
| <input checked="" type="checkbox"/>         | International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....   | \$950.00                  |  |
| <input type="checkbox"/>                    | International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....  | \$790.00                  |  |
| <input type="checkbox"/>                    | International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....   | \$750.00                  |  |
| <input type="checkbox"/>                    | International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....   | \$100.00                  |  |
| <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> |   | <b>\$930.00</b>           |  |

Surcharge of **\$130.00** for furnishing the oath or declaration later than  20  30 months from the earliest claimed priority date (37 CFR 1.492(e)).**\$130.00**

| CLAIMS  | NUMBER FILED | NUMBER EXTRA                      | RATE                     |                   |
|---|--------------|-----------------------------------|--------------------------|-------------------|
| Total claims  | 16 - 20 =    | 0                                 | x \$18.00                | \$0.00            |
| Independent claims  | 7 - 3 =      | 4                                 | x \$88.00                | \$352.00          |
| Multiple Dependent Claims (check if applicable).  |              |                                   | <input type="checkbox"/> | \$0.00            |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |                                   |                          | <b>\$1,412.00</b> |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |              |                                   |                          | <b>\$0.00</b>     |
|   |              | <b>SUBTOTAL =</b>                 |                          | <b>\$1,412.00</b> |
| Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). |              | +                                 |                          | <b>\$0.00</b>     |
|   |              | <b>TOTAL NATIONAL FEE =</b>       |                          | <b>\$1,412.00</b> |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).                                       |              | <input type="checkbox"/>          |                          | <b>\$0.00</b>     |
|   |              | <b>TOTAL FEES ENCLOSED =</b>      |                          | <b>\$1,412.00</b> |
|   |              | <b>Amount to be:<br/>refunded</b> |                          | <b>\$</b>         |
|   |              | <b>charged</b>                    |                          | <b>\$</b>         |

- a.  A check in the amount of \$1,412.00 to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.
- c.  The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-0920
- d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Gerald T. Shekleton  
 WELSH & KATZ, LTD.  
 120 South Riverside Plaza  
 22nd Floor  
 Chicago, Illinois 60606  
 (312) 655-1500



SIGNATURE

Gerald T. Shekleton

NAME

27,466

REGISTRATION NUMBER

October 19, 2004

DATE

10/512022

DT01 Rec'd PCT/PTC 19 OCT 2004

|  |                                 |                        |                              |            |
|--|---------------------------------|------------------------|------------------------------|------------|
| CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)   |                                 |                        |                              | Docket No. |
| Applicant(s): Tetsuhiro et al.   |                                 |                        |                              | 93120      |
| Serial No.<br>Unassigned   | Filing Date<br>October 19, 2004 | Examiner<br>Unassigned | Group Art Unit<br>Unassigned |            |
| Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371 (in duplicate); copy of application No. WO 03/089697; English Translation of specification including drawing pages; copy of International Examination Report; copy of International Search Report; Declaration and Power of Attorney; Information Disclosure Statement; Form PTO-1449 including cited references (8); Assignment Cover Sheet; Assignment; Application Data Sheet; Certificate of Express Mail; and Return Postcard. |                                 |                        |                              |            |
| is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Mail Stop PCT, Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-0001 on October 18, 2004.   |                                 |                        |                              |            |

Shannon Wooten

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

EL 996 736 227 US

("Express Mail" Mailing Label Number)